

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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8-02-02

IN RE APPLICATION: Errol O. KENDALL et al.

GROUP ART UNIT: 2161

SERIAL NUMBER: 09/756,906

EXAMINER: TBA

FILED: January 10, 2001

FOR: SYSTEM FOR APPRAISING A FINANCIAL PRODUCT

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. 1.97

Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicant(s) wish to disclose the following information.

REFERENCES

- ☒ The Applicant(s) wish to make of record the references listed on the attached Form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☐ A check is attached in the amount required under 37 CFR § 1.17(p).

RELATED CASES

- ☐ Attached is a list of applicant's pending applications or issued patents which may be related to the present application. A copy of the patent(s) is attached along with PTO 1449.
- ☐ A check is attached in the amount required under 37 CFR § 1.17(p).

CERTIFICATION

The undersigned certifies that

- ☐ each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this statement.

PETITION

- ☐ Applicant(s) hereby request consideration of the attached information. A check is attached in the amount of the Petition fee required under 37 CFR § 1.17(i)(1).

DEPOSIT ACCOUNT

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to deposit account No. 50-0911. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

MCKENNA LONG & ALDRIDGE LLP

Rebecca Goldman Rudich

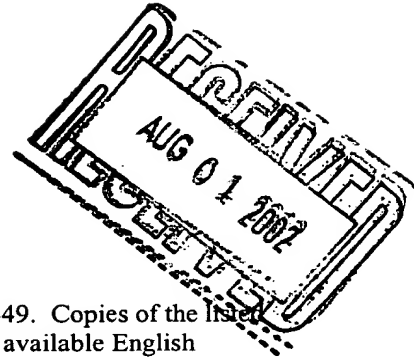
Rebecca Goldman Rudich
Registration No. 41,786

1900 K Street, N.W.
Washington, D.C. 20006
Telephone No: (202) 496-7500
July 25, 2002

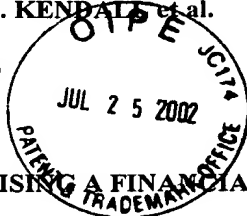
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Form PTO 1449		Attorney Docket No. 1986.002.00		Application No. 09/756,906			
U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE							
LIST OF REFERENCES CITED BY APPLICANT (Use Several Sheets if Necessary)							
Date: July 25, 2002							
Applicant Errol O. Kendall et al.							
Filing Date January 10, 2001				Group 2161			
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		2001/0023404 A1	9/2001	Ogawa et al.	705	4	February 28, 2001
		6,332,129 B1	12/2001	Walker et al.	705	26	December 4, 1998
		5,758,328	5/1998	Giovannoli	705	26	February 22, 1996
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION		
					YES	NO	
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)							
EXAMINER		DATE CONSIDERED					
*EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							
**English-language abstract provided.							